

BROWN FORMAN CORP

Form 4

January 08, 2016

FORM 4
UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Check this box
if no longer
subject to
Section 16.
Form 4 or
Form 5
obligations
may continue.
See Instruction
1(b).

**STATEMENT OF CHANGES IN BENEFICIAL OWNERSHIP OF
SECURITIES**

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934,
Section 17(a) of the Public Utility Holding Company Act of 1935 or Section
30(h) of the Investment Company Act of 1940

OMB APPROVAL

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(Print or Type Responses)

1. Name and Address of Reporting Person *
Brown J McCauley

2. Issuer Name **and** Ticker or Trading
Symbol
BROWN FORMAN CORP [BFA,
BFB]

5. Relationship of Reporting Person(s) to
Issuer

(Check all applicable)

(Last) (First) (Middle)

850 DIXIE HIGHWAY

(Street)

3. Date of Earliest Transaction
(Month/Day/Year)
01/06/2016

____ Director ____X____ 10% Owner
____ Officer (give title below) ____ Other (specify below)

LOUISVILLE, KY 40210

(City) (State) (Zip)

4. If Amendment, Date Original
Filed(Month/Day/Year)

6. Individual or Joint/Group Filing(Check
Applicable Line)
X Form filed by One Reporting Person
____ Form filed by More than One Reporting
Person

Table I - Non-Derivative Securities Acquired, Disposed of, or Beneficially Owned

1. Title of Security (Instr. 3)	2. Transaction Date (Month/Day/Year)	2A. Deemed Execution Date, if any (Month/Day/Year)	3. Transaction Code (Instr. 8)	4. Securities Acquired (A) or Disposed of (D) (Instr. 3, 4 and 5)			5. Amount of Securities Beneficially Owned Following Reported Transaction(s) (Instr. 3 and 4)	6. Ownership Form: Direct (D) or Indirect (I) (Instr. 4)	7. Nature of Indirect Beneficial Ownership (Instr. 4)
			Code	V	Amount	(A) or (D)	Price		
Class A Common	12/11/2015		G	V	2,250	D	\$ 0	1,602	D
Class A Common	12/31/2015		G	V	59,000	D	\$ 0	2,296	I By Spouse
Class A Common	12/31/2015		G	V	921	A	\$ 0	3,217	I By Spouse
Class A Common	12/31/2015		G	V	24,374	A	\$ 0	50,704	I By Spouse Irrev Trust
Class A Common	12/31/2015		G	V	59,000	A	\$ 0	121,993	I Spouse GRAT

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Class A Common	12/31/2015	G	V	25,295	D	\$ 0	96,698	I	Spouse GRAT
Class A Common	01/06/2016	P		1,646	A	\$ 105.42	15,995	I	Williams Trust
Class B Common							61,484	D	
Class B Common							8,827.5045	I	By 401k ⁽¹⁾
Class A Common							968,395	I	By Brown Ventures, LLC
Class B Common							64,481	I	By Brown Ventures, LLC
Class A Common							181,940	I	By JMB Irrev Trust
Class A Common							176,898	I	By MAE LLC
Class A Common							3,925	I	By Spray Trust
Class A Common							1,000	I	Crummey Trust
Class B Common							1,020	I	Williams Trust

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

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(9-02)

Table II - Derivative Securities Acquired, Disposed of, or Beneficially Owned
(e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative Security (Instr. 3)	2. Conversion or Exercise Price of Derivative Security	3. Transaction Date (Month/Day/Year)	3A. Deemed Execution Date, if any (Month/Day/Year)	4. Transaction Code (Instr. 8)	5. Number of Derivative Securities Acquired (A) or Disposed of (D) (Instr. 3, 4, and 5)	6. Date Exercisable and Expiration Date (Month/Day/Year)	7. Title and Amount of Underlying Securities (Instr. 3 and 4)	8. Pr Deri Secu (Inst
				Code	V (A) (D)	Date Exercisable Expiration Date	Title Amount or	

					Number of Shares
Restricted Stock Units	(2)	04/30/2016 ⁽³⁾	<u>(3)</u>	Class B Common	254
Restricted Stock Units	(2)	04/30/2017 ⁽⁴⁾	<u>(4)</u>	Class B Common	212
Restricted Stock Units	(2)	04/30/2018 ⁽⁵⁾	<u>(5)</u>	Class B Common	171
Restricted Stock Units	(2)	04/30/2019 ⁽⁶⁾	<u>(6)</u>	Class B Common	158

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Brown J McCauley 850 DIXIE HIGHWAY LOUISVILLE, KY 40210		X		

Signatures

Kelly Bowen, Attorney in Fact for J. McCauley
Brown 01/08/2016

____Signature of Reporting Person

____Date

Explanation of Responses:

* If the form is filed by more than one reporting person, *see* Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. *See* 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) Number of shares acquired through the issuer's 401(k) plan as of December 30, 2015.
- (2) Each Restricted Stock Unit represents a contingent right to receive one share of Brown-Forman Class B common stock.
- (3) The Restricted Stock Units were granted on July 26, 2012, and vest April 30, 2016.
- (4) The restricted stock units were granted on July 25, 2013, and vest April 30, 2017.
- (5) The Restricted Stock Units were granted on July 24, 2014, and vest April 30, 2018.
- (6) The Restricted Stock Units were granted on July 23, 2015, and vest on April 30, 2019.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

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